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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.	
09/705,110	11/02/2000	Charlotte G. Peterson	60709-00016	4996	
75	7590 06/02/2004			EXAMINER	
John S Beulick			BORISSOV, IGOR N		
Armstrong Teasdale LLP One Metropolitan Square Suite 2600 St. Louis, MO 63102-2740			ART UNIT	PAPER NUMBER	
			3629		
			DATE MAILED: 06/02/2004		

Please find below and/or attached an Office communication concerning this application or proceeding.

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	Application No.	Applicant(s)				
	09/705,110	PETERSON ET AL.				
Office Action Summary	Examiner	Art Unit				
	Igor Borissov	3629				
The MAILING DATE of this communication app Period for Reply	ears on the cover sheet with the o	correspondence address +				
A SHORTENED STATUTORY PERIOD FOR REPLY THE MAILING DATE OF THIS COMMUNICATION. - Extensions of time may be available under the provisions of 37 CFR 1.13 after SIX (6) MONTHS from the mailing date of this communication. - If the period for reply specified above is less than thirty (30) days, a reply - If NO period for reply is specified above, the maximum statutory period w - Failure to reply within the set or extended period for reply will, by statute, Any reply received by the Office later than three months after the mailing earned patent term adjustment. See 37 CFR 1.704(b).	86(a). In no event, however, may a reply be ting within the statutory minimum of thirty (30) day rill apply and will expire SIX (6) MONTHS from cause the application to become ABANDONE	nely filed rs will be considered timely. the mailing date of this communication. ED (35 U.S.C. § 133).				
Status						
1) Responsive to communication(s) filed on 02 No	1) Responsive to communication(s) filed on <u>02 November 2000</u> .					
2a) This action is FINAL . 2b) This	☐ This action is FINAL . 2b) ☐ This action is non-final.					
• •	, , _ , _ , _ , _ , _ , _ , _ , _ , 					
closed in accordance with the practice under E	x parte Quayle, 1935 C.D. 11, 4	53 O.G. 213.				
Disposition of Claims						
4) Claim(s) 1-118 is/are pending in the application	١.					
4a) Of the above claim(s) is/are withdray	4a) Of the above claim(s) is/are withdrawn from consideration.					
5) Claim(s) is/are allowed.	Claim(s) is/are allowed.					
6)⊠ Claim(s) <u>1-118</u> is/are rejected.	☑ Claim(s) <u>1-118</u> is/are rejected.					
7) Claim(s) is/are objected to.	Claim(s) is/are objected to.					
8) Claim(s) are subject to restriction and/or	election requirement.					
Application Papers						
9) The specification is objected to by the Examiner.						
10) ☐ The drawing(s) filed on is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.						
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).						
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).						
11)☐ The oath or declaration is objected to by the Ex	aminer. Note the attached Office	Action or form PTO-152.				
Priority under 35 U.S.C. § 119						
12) Acknowledgment is made of a claim for foreign a) All b) Some * c) None of: 1. Certified copies of the priority documents 2. Certified copies of the priority documents 3. Copies of the certified copies of the prior application from the International Bureau	s have been received. s have been received in Applicati ity documents have been receive i (PCT Rule 17.2(a)).	on No ed in this National Stage				
* See the attached detailed Office action for a list of the control of the contro	of the certified copies not receive	ed.				
1) Notice of References Cited (PTO-892) 4) Interview Summary (PTO-413)						
Notice of Draftsperson's Patent Drawing Review (PTO-948) Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date	Paper No(s)/Mail Da					

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DETAILED ACTION

Specification

Specification is objected to because meaning of the phrase "software management sigma value" is not defined. Examiner believes that "software management sigma value" represents a relative value indicating integrity of a development of a process. However, a concise definition, statistical tools used for computation and indication of a value range is not provided. Also, the phrases "software management sigma value" and "sigma value" have been used throughout the claims interchangeably, which is confusing.

Appropriate corrections are required.

Claim Objections

Claims 10, 35-36 and 48-49 are objected to because of the following informalities:

Claim 10 is objected to because the phrase "Software Management Sigma Value" is not in compliance with MPEP 608.01(m), which states: Each claim begins with a capital letter and ends with a period.

Claims 18-23 are objected to because the phrase "Request for Proposal and a Request for Information" is not in compliance with MPEP 608.01(m).

Appropriate corrections are required.

Claim Rejections - 35 USC § 112

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

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Claims 10, 35-36, 48 and 49 are rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the enablement requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention. Specification neither provides a definition of "sigma value", nor actual method steps for computation of said value.

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 1-46 and 50-113 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claims 1 and 50 are confusing, because the phrase "auditing capabilities" indicates a potential, not an actual method step.

Claims 4-8 and 22, the phrases "other ...details" or "any" make claims indefinite.

Claim 6 appears to repeat the limitations of claim 4.

Claim 10, the phrase "compliance information to the overall software management process based on the response of the self assessment in terms of software management sigma value" is confusing.

Claim Rejections - 35 USC § 101

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claims 1-49 are rejected under 35 U.S.C. 101 because the claimed method for managing software assets does not recite a limitation in the technological arts. The

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independently claimed steps of: identifying solution alternatives, conducting acquisition process, deploying software; maintaining and reviewing software contracts; retiring software and providing auditing capabilities for a user are abstract ideas which can be performed mentally without interaction of a physical structure. The method step: deploying software may be understood as merely giving away free software samples. However, the claimed invention must utilize technology in a non-trivial manner (Ex parte Bowman, 61 USPQ2d 1665, 1671 (Bd. Pat. App. & Inter. 2001)).

Because the independently claimed invention is directed to an abstract idea which does not recite a limitation in the technological arts, those claims and claims depending from them, are not permitted under 35 USC 101 as being related to non-statutory subject matter. However, in order to consider those claims in light of the prior art, examiner will assume that those claims recite statutorily permitted subject matter.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 1-6, 8, 11-12, 14-17, 19, 24-25, 28, 38-40, 42-43 and 114-118 are rejected under 35 U.S.C. 102(e) as being anticipated by Conte et al. (US 5,845,065).

Conte et al. (hereinafter Conte) teaches a method and system for network license compliance, comprising:

Independent claims:

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Claim 1, storing and updating information into a database (C. 7, L. 3-15); conducting acquisition process and deploying software (C. 6, L. 39-43); maintaining and reviewing software license assignments (C. 6, L. 63-65); unassigning (retiring) software (C. 15, L. 31-33); tracking software licenses (C. 15, L. 47-50).

Claim 47, accessing a license pool (*centralized database*) (C. 7, L. 10-32); searching said pool in response to inquiry received from a user (C. 6, L. 39-43); retrieving and presenting said information to the user for tracking (C. 15, L. 47-50).

Claim 50, a client system; a license pool (*centralized database*); and a server system coupled to said client system and said license pool (C. 6, L. 15-35; C. 7, L. 10-32). Information as to *identifying solution alternatives, conducting acquisition process, deploying software; maintaining and reviewing software contracts; retiring software and providing auditing capabilities is non-functional language and given no patentable weight. Claims Directed to an Apparatus must be distinguished from the prior art in terms of structure rather than function, <i>In re Danly* 263 F.2d 844, 847, 120 USPQ 582, 531 (CCPA 1959).

A claim containing a "recitation with respect to the manner in which a claimed apparatus is intended to be employed does not differentiate the claimed apparatus from a prior art apparatus" if the prior art apparatus teaches all the structural limitations of the claim. *Ex parte Masham*, 2 USPQ2d 1657 (bd Pat. App. & Inter. 1987). Thus as described the limitations of the claim do not distinguish the claimed apparatus from the prior art.

Claim 114, a client system; a license pool (*centralized database*); and a server system coupled to said client system and said license pool (C. 6, L. 15-35; C. 7, L. 10-32). Information as to *organizing and processing information; computing a software management sigma value and providing feedback* is non-functional language and given no patentable weight. Claims Directed to an Apparatus must be distinguished from the prior art in terms of structure rather than function, *In re Danly* 263 F.2d 844, 847, 120 USPQ 582, 531 (CCPA 1959).

A claim containing a "recitation with respect to the manner in which a claimed apparatus is intended to be employed does not differentiate the claimed apparatus from

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a prior art apparatus" if the prior art apparatus teaches all the structural limitations of the claim. *Ex parte Masham*, 2 USPQ2d 1657 (bd Pat. App. & Inter. 1987). Thus as described the limitations of the claim do not distinguish the claimed apparatus from the prior art.

Claim 115, a client system; a license pool (*centralized database*); and a server system coupled to said client system and said license pool (C. 6, L. 15-35; C. 7, L. 10-32). Information as to accessing the centralized database; searching the database; retrieving information and computing a software management sigma value is non-functional language and given no patentable weight. Claims Directed to an Apparatus must be distinguished from the prior art in terms of structure rather than function, *In re Danly* 263 F.2d 844, 847, 120 USPQ 582, 531 (CCPA 1959).

A claim containing a "recitation with respect to the manner in which a claimed apparatus is intended to be employed does not differentiate the claimed apparatus from a prior art apparatus" if the prior art apparatus teaches all the structural limitations of the claim. *Ex parte Masham*, 2 USPQ2d 1657 (bd Pat. App. & Inter. 1987). Thus as described the limitations of the claim do not distinguish the claimed apparatus from the prior art.

Claim 116, a client system; a license pool (*centralized database*); and a server system coupled to said client system and said license pool (C. 6, L. 15-35; C. 7, L. 10-32). Information as to *displaying a checklist, accepting the user responses and computing a software management sigma value* is non-functional language and given no patentable weight. Claims Directed to an Apparatus must be distinguished from the prior art in terms of structure rather than function, *In re Danly* 263 F.2d 844, 847, 120 USPQ 582, 531 (CCPA 1959).

A claim containing a "recitation with respect to the manner in which a claimed apparatus is intended to be employed does not differentiate the claimed apparatus from a prior art apparatus" if the prior art apparatus teaches all the structural limitations of the claim. *Ex parte Masham*, 2 USPQ2d 1657 (bd Pat. App. & Inter. 1987). Thus as described the limitations of the claim do not distinguish the claimed apparatus from the prior art.

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Claim 117, a client system; a license pool (*centralized database*); and a server system coupled to said client system and said license pool (C. 6, L. 15-35; C. 7, L. 10-32). Information as to *receiving user's input; analyzing user's input and outputting a software management sigma value* is non-functional language and given no patentable weight. Claims Directed to an Apparatus must be distinguished from the prior art in terms of structure rather than function, *In re Danly* 263 F.2d 844, 847, 120 USPQ 582, 531 (CCPA 1959).

A claim containing a "recitation with respect to the manner in which a claimed apparatus is intended to be employed does not differentiate the claimed apparatus from a prior art apparatus" if the prior art apparatus teaches all the structural limitations of the claim. *Ex parte Masham*, 2 USPQ2d 1657 (bd Pat. App. & Inter. 1987). Thus as described the limitations of the claim do not distinguish the claimed apparatus from the prior art.

Claim 118, a client system; a license pool (*centralized database*); and a server system coupled to said client system and said license pool; said system further including a receiving component; a processing component; and an information fulfillment component (C. 6, L. 15-35; C. 7, L. 10-32). Information as to accessing the centralized database; searching the database; retrieving information and computing a software management sigma value is non-functional language and given no patentable weight. Claims Directed to an Apparatus must be distinguished from the prior art in terms of structure rather than function, *In re Danly* 263 F.2d 844, 847, 120 USPQ 582, 531 (CCPA 1959).

A claim containing a "recitation with respect to the manner in which a claimed apparatus is intended to be employed does not differentiate the claimed apparatus from a prior art apparatus" if the prior art apparatus teaches all the structural limitations of the claim. *Ex parte Masham*, 2 USPQ2d 1657 (bd Pat. App. & Inter. 1987). Thus as described the limitations of the claim do not distinguish the claimed apparatus from the prior art.

Dependent Claims.

Claim 2, see claim 1.

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Claim 3, storing user's identification (C. 7, L. 15; C. 8, L. 47-48).

Claims 4-6, storing application's pertinent details (C. 6, L. 15-16; C. 7, L. 10-15);

Claim 8, conducting a transaction with a vendor (C. 25, L. 10), thereby inherently indicating *storing vendor-related information*.

Claims 11-12, matching user's *needs* with existing licenses (C. 7, L. 11-12), thereby inherently indicating *defining and analyzing business requirements*.

Claim 14, matching user's *needs* with existing licenses, said matching is conducted in a plurality of steps (C. 7, L. 11-12), thereby inherently indicating *reviewing* and finalizing method steps.

Claim 15, identifying software alternatives (C. 7, L. 7-35).

Claim 16, matching user's *needs* with existing licenses, said matching is conducted in a plurality of steps (C. 7, L. 11-12), thereby inherently indicating *evaluating* and checking method steps.

Claims 17 and 19, making a decision to using an existing software (C. 7, L. 7-35). Claims 24 and 28, see claim 1.

Claim 25, tracking licenses, and updating the database with the current information relating to licenses (C. 15, L. 46-60).

Claims 38-40, see claim 1.

Claims 42-43, see claim 1.

Claim 51, said system, including a displaying component and a sending component (C. 6, L. 15-35; C. 7, L. 10-32). Information as to *sending an inquiry* is non-functional language and given no patentable weight. Claims Directed to an Apparatus must be distinguished from the prior art in terms of structure rather than function, *In re Danly* 263 F.2d 844, 847, 120 USPQ 582, 531 (CCPA 1959).

A claim containing a "recitation with respect to the manner in which a claimed apparatus is intended to be employed does not differentiate the claimed apparatus from a prior art apparatus" if the prior art apparatus teaches all the structural limitations of the claim. *Ex parte Masham*, 2 USPQ2d 1657 (bd Pat. App. & Inter. 1987). Thus as described the limitations of the claim do not distinguish the claimed apparatus from the prior art.

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Claims 52-54, see claim 51.

Claim 55, said system, including a tracking component a collection component (C. 15, L. 47-50); a displaying component, a receiving component and an accessing component (C. 6, L. 15-35; C. 7, L. 10-32). Claims Directed to an Apparatus must be distinguished from the prior art in terms of structure rather than function, *In re Danly* 263 F.2d 844, 847, 120 USPQ 582, 531 (CCPA 1959).

A claim containing a "recitation with respect to the manner in which a claimed apparatus is intended to be employed does not differentiate the claimed apparatus from a prior art apparatus" if the prior art apparatus teaches all the structural limitations of the claim. *Ex parte Masham*, 2 USPQ2d 1657 (bd Pat. App. & Inter. 1987). Thus as described the limitations of the claim do not distinguish the claimed apparatus from the prior art.

Claims 56-113, see claim 50. Claims Directed to an Apparatus must be distinguished from the prior art in terms of structure rather than function, *In re Danly* 263 F.2d 844, 847, 120 USPQ 582, 531 (CCPA 1959).

A claim containing a "recitation with respect to the manner in which a claimed apparatus is intended to be employed does not differentiate the claimed apparatus from a prior art apparatus" if the prior art apparatus teaches all the structural limitations of the claim. *Ex parte Masham*, 2 USPQ2d 1657 (bd Pat. App. & Inter. 1987). Thus as described the limitations of the claim do not distinguish the claimed apparatus from the prior art.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

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Dependent claims 7, 9, 13, 26-27, 29-34, 37 and 41 is rejected under 35 U.S.C. 103(a) as being unpatentable over Conte in view of Jacobson (US 6,735,701).

Claim 7. Conte teaches all the limitations of claim 7, including storing application's pertinent details (C. 6, L. 15-16; C. 7, L. 10-15); except specifically teaching that said details include contact person related information.

Jacobson teaches a method and system for network policy management and effectiveness system, including providing a licensed software for a business entity, wherein a user's name, title, email address, department and employment status is stored (C. 20, L. 2-8).

It would have been obvious to one having ordinary skill in the art at the time the invention was made to modify Conte to include that said details include contact person related information, as disclosed in Jacobson, because it would simplify assessment of the status of the licensed software.

Claim 9, providing training materials on-line (Jacobson; Figs. 24-26; C. 19, L. 18-19; C. 20, L. 14).

Claim 13, analyzing local regulations (Jacobson; C. 19, L. 26-28).

Claims 26-27 and 30-31, providing information about justification for software purchases, upgrades and maintenance expense (Jacobson; C. 20, L. 50-51).

Claim 29, updating software purchase related information (Jacobson; C. 20, L. 33-36).

Claims 32, revising licensing information (Jacobson; C. 19, L. 9-11).

Claim 33, updating the system with the purchasing information (Jacobson; C. 19, L. 4-16).

Claim 34, monitoring effectiveness of the current policy, and users compliance with the current policy obviously indicates evaluating exposure of a department (Jacobson; C. 19, L. 4-16).

Claim 37, downloading a new policy if it was determined that the current policy is not effective obviously indicates implementing corrective actions (Jacobson; C. 19, L. 9-11).

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Claim 41, printing requested information (Jacobson; C. 15, L. 29-33).

Dependent claims 10 and 35-36 are rejected under 35 U.S.C. 103(a) as being unpatentable over Conte and Jacobson in view of Hedstrom et al. (US 6,477,471).

Claim 10. Conte and Jacobson teach all the limitations of claim 10, except teaching that said self-serve policy compliance information includes software management sigma value related information.

Hedstrom et al. (hereinafter Hedstrom) teaches a method and system for analyzing quality of the software development process, wherein the historical data indicating defect containment in software development is processed and sigma values are computed (C. 2, L. 34-38).

It would have been obvious to one having ordinary skill in the art at the time the invention was made to modify Conte and Jacobson to include software management sigma value related information, as disclosed in Hedstrom, because use of statistical tools for analyzing policy compliance would allow to compute predicted deviations of policy compliance, thereby increase accuracy of the system.

Claim 35, see claim 10.

Claim 36, see claim 34.

Dependent claims 18-23 are rejected under 35 U.S.C. 103(a) as being unpatentable over Conte in view of Aycock et al. (US 5,765,138).

Claim 18. Conte teaches all the limitations of claim 18, except specifically teaching submitting a request for proposal to prospective vendors and reviewing results.

Aycock et al. (hereinafter Aycock) teaches a method and system for providing an interactive evaluation of potential vendors, wherein a request for proposal to prospective vendors is submitted, and vendors responses are scored and evaluated (C. 1, L. 48-51).

It would have been obvious to one having ordinary skill in the art at the time the invention was made to modify Conte to include *submitting a request for proposal to*

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prospective vendors and reviewing results, as disclosed in Aycock, because submitting a request for proposal to multiple vendors would allow to find the best suitable vendor for the job.

Claim 20, see claim 17.

Claim 21, see claim 18.

Claim 22, maintaining policy compliance (Conte; C. 4, L. 62).

Claim 23, selecting a vendor for a software project (C. 2, L. 61-63; C. 3, L. 22-23).

Dependent claims 44-46 are rejected under 35 U.S.C. 103(a) as being unpatentable over Conte.

Claim 44. Conte teaches all the limitations of claim 44, including submitting a request (C. 6, L. 39-43), except specifically teaching that said submitting step is conducted through *pull down menus*.

Official notice is taken that *pull down menus* is well known interface (See, for example, Microsoft Word ©).

Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to modify Conte to include that said submitting step is conducted through *pull down menus*, because use of well known interface would simplify the interaction with the system.

Claims 45-46. Conte teaches all the limitations of claims 45 and 46, including use of a network for communication, except specifically teaching that said network is the Internet.

Official notice is taken that it is well known to use the Internet as a communication network.

Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to modify Conte to include that said network is the Internet, because communication over said network is fast and affordable way of

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communication. Also, communication over the Internet obviously indicates downloading an HTML document.

Independent claims 48-49 are rejected under 35 U.S.C. 103(a) as being unpatentable over Jacobson in view of Hedstrom.

Claim 48, Jacobson teaches said method and system, including reviewing compliance management related information; accepting the user responses regarding compliance violation, and outputting compliance management report (C. 13, L. 55-64; C. 14, L. 33-43).

Jacobson does not teach that said report includes software management sigma value.

Hedstrom teaches a method and system for analyzing quality of the software development process, wherein the historical data indicating defect containment in software development is processed and sigma values are computed (C. 2, L. 34-38).

It would have been obvious to one having ordinary skill in the art at the time the invention was made to modify Jacobson to include that said report includes software management sigma value related information, as disclosed in Hedstrom, because use of statistical tools for analyzing policy compliance would allow to compute predicted deviations of policy compliance, thereby increase accuracy of the system.

Claim 49, Jacobson teaches said method and system, including receiving information from a user in response to a specific question; analyzing received information and outputting compliance management report (C. 13, L. 55-64; C. 14, L. 33-43).

Jacobson does not teach that said report includes software management sigma value.

Hedstrom teaches a method and system for analyzing quality of the software development process, wherein the historical data indicating defect containment in software development is processed and sigma values are computed (C. 2, L. 34-38).

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It would have been obvious to one having ordinary skill in the art at the time the invention was made to modify Jacobson to include that said report includes software management sigma value related information, as disclosed in Hedstrom, because use of statistical tools for analyzing policy compliance would allow to compute predicted deviations of policy compliance, thereby increase accuracy of the system.

Remarks

A signed copy of the Form PTO-1449 is not provided, because IDS is missing.

Conclusion

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure (see form PTO-892).

Any inquiry concerning this communication should be directed to Igor Borissov at telephone number (703) 305-4649.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Receptionist whose telephone number is (703) 872-9306.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's Supervisor, John Weiss, can be reached at (703) 308-2702.

Any response to this action should be mailed to:

Commissioner of Patents and Trademarks Washington D.C. 20231

or faxed to:

(703) 872-9306 [Official communications; including After Final

communications labeled "Box AF"]

Hand delivered responses should be brought to Crystal Park 5, 2451 Crystal Drive, Arlington, VA, 7th floor receptionist.

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JOHN G. WEISS SUPERVISORY PATENT EXAMINER TECHNOLOGY CENTER 3600

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